

Applicant Initiated Interview Request Form

Application No.: 10/753,069 First Named Applicant: Weber
 Examiner: Linda Perry Art Unit: 3695 Status of Application: Pending

Tentative Participants:

(1) Michael Stimson (2) Linda Perry
 (3) Charles Kyle (4) _____

Proposed Date of Interview: May 26, 2009 Proposed Time: 1pm Eastern AM/PM

Type of Interview Requested:

(1) ☒ Telephonic (2) ☐ Personal (3) ☐ Video Conference

Exhibit To Be Shown or Demonstrated:

☐ YES ☒ NO

If yes, provide brief description: _____

Issues To Be Discussed

Issues (Rej., Obj., etc)	Claims/ Fig. #s	Prior Art	Discussed	Agreed	Not Agreed
(1) <u>Rej. 101, 112</u>	<u>All claims</u>	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) <u>Rej. 102</u>	<u>1-3, 10</u>	<u>Dembo</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) <u>Rej. 103</u>	<u>All claims</u>	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Continuation Sheet Attached

Brief Description of Argument to be Presented:

Dembo does not anticipate because it does not teach proxy or hedging portfolios that model a fund and using a proxy
or hedging portfolio in order to avoid public disclosure of a fund's holdings. The invention would not have been obvious
as evident from the Baker declaration and the industry accolades showing strong secondary indicia of nonobviousness.

An interview was conducted on the above-identified application on _____
 NOTE: This form should be completed by applicant and submitted to the examiner in advance of the interview
 (see MPEP § 713.01).

This application will not be delayed from issue because of applicant's failure to submit a written record of this
 interview. Therefore, applicant is advised to file a statement of the substance of this interview (37 CFR 1.133(b)) as
 soon as possible.

Michael J. Stimson
 Applicant/Applicant's Representative Signature
 Michael J. Stimson
 Typed/Printed Name of Applicant or Representative
 45429

Charles R. Perry
 Examiner/SPE Signature

Registration Number, if applicable _____

This collection of information is required by 37 CFR 1.133. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing that burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22311-1450. (202) 278-6000. USE PREVIOUS EDITIONS OF THIS FORM. SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22311-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.